

**491—10.5(99D) Facility racing officials.**

**10.5(1) *General description.*** A facility conducting a race meeting appoints at least the following officials:

- a. One of the members of the three-member board of stewards;
- b. Racing secretary;
- c. Assistant racing secretary;
- d. Paddock judge;
- e. Horse identifier;
- f. Starter;
- g. Clocker/timer;
- h. Three placing judges;
- i. Jockey room custodian;
- j. Mutuel manager;
- k. Clerk of scales;
- l. Minimum of two outriders;
- m. Horsemen's bookkeeper; and
- n. Any other person designated by the commission.

**10.5(2) *Officials' prohibited activities.*** No racing official or racing official's assistant(s) listed in subrule 10.5(1) while serving in that capacity during any meeting may engage in any of the following:

- a. Conduct prohibited by Iowa Code section 99D.5(5) "a";
- b. Participation in the sale, purchase, or ownership of any horse racing at the meeting;
- c. Involvement in any way in the purchase or sale of any contract on any jockey racing at the meeting;
- d. Selling or soliciting horse insurance on any horse racing at the meeting, or any other business sales or solicitation not a part of the official's duties;
- e. Accepting or receiving money or anything of value for the official's assistance in connection with the official's duties;
- f. Consuming or being under the influence of alcohol or any prohibited substance while performing official duties.

**10.5(3) *Single official appointment.*** No official appointed to any meeting, except placing judges, may hold more than one official position listed in subrule 10.5(1) unless, in the determination of the stewards or commission, holding more than one appointment would not subject the official to a conflict of interest or duties in the two appointments.

**10.5(4) *Racing secretary.***

a. *General authority.* The racing secretary or the racing secretary's designee is responsible for setting the conditions for each race of the meeting, regulating the nomination of entries, determining the amounts of purses and to whom they are due, and recording race results. The racing secretary can permit no person other than licensed racing officials to enter the racing secretary's office or work areas until such time as all entries are closed; drawn; and reviewed for correctness, eligibility, weight allowances, and medications. Exceptions to this rule may only be granted with the stewards' approval.

b. *Conditions.* The racing secretary or designee establishes the conditions and eligibility for entering the races of the meeting and causes them to be published to owners, trainers, and the commission. Corrections to the conditions must be made before entries are taken.

c. *Posting of entries.* Upon the closing of entries each day, the racing secretary or designee posts a list of entries in a conspicuous location in the office of the racing secretary and furnishes that list to local media.

d. *Stakes and entrance money records.* The racing secretary or designee is the caretaker of the permanent records of all stakes, entrance moneys, and arrears paid or due in a race meeting and keeps permanent records of the results of each race of the meeting.

e. *Record of racing.* The racing secretary or designee will, no later than the day following each race, attach or endorse on the registration certificate of each horse winning in any race the fact of that winning performance and the distance, date of the race, and type or conditions of the race.

f. *Daily program.* The racing secretary or designee publishes the official daily program, ensuring the accuracy therein of the following information:

- (1) The sequence of races to be run and post time for the first race;
- (2) The purse, conditions and distance for each race, and current track record for such distance;
- (3) The name of licensed owners of each horse, indicated as leased, if applicable, and description of racing colors to be carried;
- (4) The name of the trainer and the name of the jockey named for each horse together with the weight to be carried;
- (5) The post position and saddle cloth number or designation for each horse if there is a variance with the saddle cloth designation;
- (6) The identification of each horse by name, color, sex, age, sire and dam;
- (7) A notice that all jockeys will carry approximately three pounds more than the published weight to account for safety equipment (vest and helmet) that is not included in required weighing-out procedures; and
- (8) Such other information as may be requested by the association or the commission.

g. *Handicapping.* The racing secretary, or a handicapper assigned by the racing secretary, assigns the weight to be carried by each horse in a handicap when weights are not stated in the condition of the race:

(1) Scale of weights for age. The scale of weights for age hereinafter listed are carried when conditions of races do not otherwise specify:

Distance	Age	Jan	Feb	Mar	Apr	May	Jun	Jul	Aug	Sep	Oct	Nov	Dec
HALF MILE	Two Years	X	X	X	X	X	X	X	105	108	111	114	114
	Three Years	117	117	119	119	121	123	125	126	127	128	129	129
	Four Years	130	130	130	130	130	130	130	130	130	130	130	130
	Five Years and Up	130	130	130	130	130	130	130	130	130	130	130	130
SIX FURLONGS	Two Years	X	X	X	X	X	X	X	102	105	108	111	111
	Three Years	114	114	117	117	119	121	123	125	126	127	128	128
	Four Years	129	129	130	130	130	130	130	130	130	130	130	130
	Five Years and Up	130	130	130	130	130	130	130	130	130	130	130	130
ONE MILE	Two Years	X	X	X	X	X	X	X	X	96	99	102	102
	Three Years	107	107	111	111	113	115	117	119	121	122	123	123
	Four Years	127	127	128	128	127	126	126	126	126	126	126	126
	Five Years and Up	128	128	128	128	127	126	126	126	126	126	126	126
MILE AND A QUARTER	Two Years	X	X	X	X	X	X	X	X	X	X	X	X
	Three Years	101	101	107	107	111	113	116	118	120	121	122	122
	Four Years	125	125	127	127	127	126	126	126	126	126	126	126
	Five Years and Up	127	127	127	127	127	126	126	126	126	126	126	126
MILE AND A HALF	Two Years	X	X	X	X	X	X	X	X	X	X	X	X
	Three Years	98	98	104	104	108	111	114	117	119	121	122	122
	Four Years	124	124	126	126	126	126	126	126	126	126	126	126
	Five Years and Up	126	126	126	126	126	126	126	126	126	126	126	126
TWO MILES	Two Years	X	X	X	X	X	X	X	X	X	X	X	X
	Three Years	96	96	102	102	106	109	112	114	117	119	120	120
	Four Years	124	124	126	126	126	126	126	125	125	124	124	124
	Five Years and Up	126	126	126	126	126	126	126	125	125	124	124	124

- (2) Weights listed.
  1. In races of intermediate lengths, the weights for the shorter distance are to be carried.
  2. In a race exclusively for two-year-olds, the weight is 122 pounds.
  3. In a race exclusively for three-year-olds or four-year-olds, the weight is 126 pounds.
- (3) Minimum weight.

1. Thoroughbreds. In all overnight races for two-year-olds, three-year-olds, or four-year-olds and older, the minimum weight is 112 pounds, subject to sex and apprentice allowance. This rule does not apply to handicaps or to races written for three-year-olds and older.

2. Quarter horse and mixed races. In all overnight races for two-year-olds, the weight is 120 pounds; for three-year-olds, the weight is 122 pounds; and for four-year-olds and older, the weight is 124 pounds.

3. Quarter horse and mixed races. In qualifying for a speed index, standard weight is 120 pounds. Should any horse carry less than this amount in a race, one-tenth of a second will be added to the official time for each four pounds or fraction thereof less than 120 pounds.

(4) Sex allowances. In thoroughbred racing, sex allowances are obligatory. Sex allowances will be applied in all thoroughbred races unless the conditions of the race expressly state to the contrary. If the conditions of the race are silent as to sex allowances, a sex allowance will be applied. Sex allowances cannot be declined. Two-year-old fillies are allowed three pounds; mares three years old and older are allowed five pounds before September 1 and three pounds thereafter. Sex allowances are not applicable for quarter horse or mixed races.

(5) Iowa-foaled horse allowance. Iowa-foaled horses that are properly registered and whose papers are stamped, physically or digitally, by the Iowa department of agriculture and land stewardship are allowed an additional three pounds beyond the stated conditions of the race if the race is not limited to Iowa-foaled horses. This allowance does not apply to stakes races.

*h. Penalties not cumulative.* Penalties and weight allowances are not cumulative unless so declared in the conditions of a race by the racing secretary.

*i. Winnings.*

(1) All inclusive. For the purpose of the setting of conditions by the racing secretary, winnings are considered to include all moneys and prizes won up to the time of the start of a race, including those races outside the United States. Foreign winnings are determined on the basis of the normal rate of exchange prevailing on the day of the win. The amount of purse money earned is credited in United States currency, and there is no appeal for any loss on the exchange rate at the time of transfer from United States currency to that of another country.

(2) Winnings considered from January 1. Winnings during the year are reckoned by the racing secretary from the preceding January 1.

(3) Winner of a certain sum. "Winner of a certain sum" means the winner of a single race of that sum, unless otherwise expressed in the condition book by the racing secretary. In determining the net value to the winner of any race, the sums contributed by its owner or nominator will be deducted from the amount won. In all stakes races, the winnings will be computed on the value of the gross earnings.

*j. Cancellation of a race.* The racing secretary or designee has the authority to withdraw, cancel, or change any race that has not been closed. In the event the race is canceled, any and all fees paid in connection with the race will be refunded.

*k. Coggins test.* The racing secretary or designee will ensure that all horses have a current negative Coggins test. The racing secretary will report all expired certificates to the stewards.

*l. Registrations and supporting documents.* The racing secretary or designee is responsible for receiving, inspecting, and safeguarding all registrations and supporting documents submitted by the trainer while the horses are located on facility premises. Upon notification from a trainer of an alteration of the sex of a horse, the racing secretary will note such alteration on the certificate of registration. Disclosure is made for the benefit of the public and all documents pertaining to the ownership or lease of a horse filed with the racing secretary are available for public inspection.

**10.5(5)** *Paddock judge.*

*a. General authority.* The paddock judge:

(1) Supervises the assembly of horses in the paddock no later than 15 minutes before the scheduled post time for each race;

(2) Maintains a written record of all equipment, inspects all equipment of each horse saddled, and reports any change thereof to the stewards;

(3) Prohibits any change of equipment without the approval of the stewards;

(4) Ensures that the saddling of all horses is orderly, open to public view, and free from public interference and that horses are mounted at the same time and leave the paddock for the post in proper sequence;

(5) Supervises paddock schooling of all horses approved for such by the stewards;

(6) Reports to the stewards any observed cruelty to a horse; and

(7) Ensures that only properly authorized persons are permitted in the paddock.

*b. Paddock judge's list.*

(1) The paddock judge maintains a list of horses that cannot be entered in a race because of poor or inconsistent behavior in the paddock that endangers the health or safety of other participants in racing.

(2) At the end of each day, the paddock judge provides a copy of the list to the stewards.

(3) To be removed from the paddock judge's list, a horse must be schooled in the paddock and demonstrate to the satisfaction of the paddock judge and the stewards that the horse is capable of performing safely in the paddock.

**10.5(6) Horse identifier.** The horse identifier:

*a.* When required, ensures the safekeeping of registration certificates and racing permits for horses stabled or racing on facility premises;

*b.* Inspects documents of ownership, eligibility, registration, or breeding necessary to ensure the proper identification of each horse scheduled to compete at a race meeting;

*c.* Examines every starter in the paddock for sex, color, markings, microchip, lip tattoo, or digital tattoo for comparison with its registration certificate to verify the horse's identity;

*d.* Supervises the tattooing, digital tattooing, microchipping or branding for identification of any horse located on facility premises; and

*e.* Reports to the stewards any horse not properly identified or whose registration certificate is not in conformity with these rules.

**10.5(7) Starter.**

*a. General authority.* The starter:

(1) Has complete jurisdiction over the starting gate, the starting of horses, and the authority to give orders not in conflict with the rules as may be required to ensure all participants an equal opportunity to a fair and safe start;

(2) Appoints and supervises assistant starters who have demonstrated they are adequately trained to safely handle horses in the starting gate. In emergency situations, the starter may appoint qualified individuals to act as substitute assistant starters;

(3) Assigns the starting gate stall positions to assistant starters and notifies the assistant starters of their respective stall positions on race day before post time for each race;

(4) Assesses the ability of each person applying for a jockey's license in breaking from the starting gate and working a horse in the company of other horses, and makes said assessment known to the stewards; and

(5) Loads horses into the gate in any order deemed necessary to ensure a safe and fair start.

*b. Assistant starters.* With respect to an official race, the assistant starters cannot:

(1) Handle or take charge of any horse in the starting gate without the expressed permission of the starter;

(2) Impede the start of a race;

(3) Use excessive force, a whip or other device, with the exception of steward-approved tongs, to assist in loading a horse into the starting gate;

(4) Slap, boot, or otherwise dispatch a horse from the starting gate;

(5) Strike or use abusive language to a jockey; or

(6) Accept or solicit any gratuity or payment other than their regular salary, directly or indirectly, for services in starting a race.

*c. Starter's list.* No horse may start in a race unless approval is given by the starter. The starter maintains a starter's list of all horses that are ineligible to be entered in any race because of poor or inconsistent behavior or performance in the starting gate. Any horse on the starter's list will be refused

entry until the horse has demonstrated to the starter that it has been satisfactorily schooled in the gate and can be removed from the starter's list. Schooling will be under the direct supervision of the starter.

**10.5(8) Timer/clocker.**

*a. General authority—timer.*

(1) The timer must accurately record the official time.  
(2) At the end of a race, the timer posts the official running time on the infield totalizator board on instruction by the stewards.

(3) At a facility equipped with an appropriate infield totalizator board, the timer will post the quarter times (splits) for thoroughbred races in fractions as a race is being run. For quarter horse races, the timer will post the official times in hundredths of a second.

(4) For backup purposes, the timer must also use a stopwatch to time all races. In time trials, the timer should ensure that at least two stopwatches are used by the stewards or their representatives.

(5) The timer maintains, and makes available for inspection by the stewards or the commission on request, a written record of fractional and finish times of each race.

*b. General authority—clocker.*

(1) The clocker will be present during training hours at each track on facility premises that is open for training to identify each horse working out and to accurately record the distances and times of each horse's workout.

(2) Each day, the clocker prepares a list of workouts that includes the name of each horse that worked along with the distance and time of each horse's workout.

(3) At the conclusion of training hours, the clocker delivers a copy of the list of workouts to the stewards and the racing secretary.

**10.5(9) Placing judges.**

*a. General authority.* The placing judges determine the order of finish in a race as the horses pass the finish line and, with the approval of the stewards, may display the results on the totalizator board.

*b. Photo finish.*

(1) In the event the placing judges or the stewards request a photo of the finish, the photo finish sign will be posted on the totalizator board.

(2) Following their review of the photo finish, the placing judges, with the approval of the stewards, determine the exact order of finish for all horses participating in the race and will immediately post the numbers of the first four finishers on the totalizator board.

(3) In the event a photo was requested, the placing judges will cause a photograph of said finish to be produced. The finish photograph, when needed, will be used by the placing judges as an aid in determining the correct order of finish.

(4) Upon determination of the correct order of finish of a race in which the placing judges have utilized a photograph to determine the first four finishers, the placing judges will cause said photograph to be displayed publicly in the grandstand and clubhouse areas of the facility.

*c. Dead heats.*

(1) If the placing judges determine that two or more horses finished the race simultaneously and cannot be separated as to their order of finish, a dead heat will, with the approval of the stewards, be declared.

(2) If one or more of the first four finishers of a race are involved in a dead heat, the placing judges will post the dead heat sign on the totalizator board and cause the numbers of the horse or horses involved to blink on the totalizator board.

**10.5(10) Jockey room custodian.** The jockey room custodian:

*a.* Supervises the conduct of the jockeys and their attendants while they are in the jockey room;  
*b.* Keeps the jockey room clean and safe for all jockeys;  
*c.* Ensures all jockeys are in the correct colors and wearing the correct arm number before leaving the jockey room to prepare for mounting their horses;

*d.* Keeps a daily film list as dictated by the stewards and has it displayed in plain view for all jockeys;

*e.* Keeps a daily program displayed in plain view for the jockeys;

- f. Keeps unauthorized persons out of the jockey room;
- g. Reports to the stewards any unusual occurrences in the jockey room or infraction of the rules with respect to helmets and vests;
- h. Assists the clerk of scales as required;
- i. Supervises the care and storage of racing colors; and
- j. Assigns to each jockey a locker for the use of storing the jockey's clothing, equipment, and personal effects.

**10.5(11) *Mutuel manager.*** The mutuel manager is responsible for the operation of the mutuel department. The mutuel manager ensures that any delays in the running of official races caused by totalizator malfunctions are reported to the stewards. The mutuel manager will submit a written report on any delay when requested by the state steward.

- 10.5(12) *Clerk of scales.*** The clerk of scales will:
- a. Verify the presence of all jockeys in the jockey room at the appointed time;
  - b. Verify that each jockey has a current jockey's license issued by the commission;
  - c. Verify the correct weight of each jockey at the time of weighing out and weighing in and report any discrepancies to the stewards immediately;
  - d. Oversee the security of the jockey room including the conduct of the jockeys and their attendants;
  - e. Record all required data on the scale sheet and submit that data to the horsemen's bookkeeper at the end of each race day;
  - f. Maintain the record of applicable winning races on all apprentice certificates at the meeting;
  - g. Release apprentice jockey certificates, upon the jockey's departure or upon the conclusion of the race meet;
  - h. Assume the duties of the jockey room custodian in the absence of such employee; and
  - i. Promptly report to the stewards any infraction of the rules with respect to riding equipment; safety equipment, including but not limited to helmets and vests; riding crops; or conduct.

- 10.5(13) *Outrider.***
- a. The facility must appoint a minimum of two outriders on the main track for each race of a performance and during workouts for which the starting gate is set. The facility must appoint one outrider on the training track during training hours. The outriders must be neat in appearance, wear approved helmets with the chin straps securely fastened, and wear approved safety vests while on the main track or training track.
  - b. The outriders:
    - (1) Accompany the field of horses from the paddock to the post;
    - (2) Ensure the post parade is conducted in an orderly manner, with all jockeys and pony riders conducting themselves in a manner in conformity with the best interests of racing as determined by the stewards;
    - (3) Assist jockeys with unruly horses;
    - (4) Render assistance when requested by a jockey;
    - (5) Are present during morning workouts to assist exercise riders as required by regulations;
    - (6) Promptly report to the stewards any unusual conduct that occurs while performing the duties of an outrider;
    - (7) Ensure individuals using the track(s) are appropriately licensed; and
    - (8) Promptly report jockey objections to the stewards after the finish of each race.

- 10.5(14) *Horsemen's bookkeeper.***
- a. General authority. The horsemen's bookkeeper maintains the records and accounts and performs the duties described herein and maintains such other records and accounts and performs such other duties as the facility and commission may prescribe.
  - b. Records.
    - (1) The records will include the name, mailing address, social security number or federal tax identification number, and the state or country of residence of each horse owner, trainer, or jockey participating at the race meeting who has funds due or on deposit in the horsemen's account.

(2) The records will include a file of all required statements of partnerships, syndicates, corporations, assignments of interest, lease agreements, and registrations of authorized agents.

(3) All records of the horsemen's bookkeeper must be kept separate and apart from the records of the facility.

(4) All records of the horsemen's bookkeeper including records of accounts and moneys and funds kept on deposit are subject to inspection by the commission at any time.

*c.* Moneys and funds on account.

(1) All moneys and funds on account with the horsemen's bookkeeper must be maintained:

1. Separate and apart from moneys and funds of the facility;

2. In a trust account designated as "horsemen's trust account"; and

3. In an account insured by the Federal Deposit Insurance Corporation.

(2) The horsemen's bookkeeper must be bonded.

*d.* Payment of purses.

(1) The horsemen's bookkeeper receives, maintains, and disburses the purses of each race and all stakes, entrance money, jockey fees, purchase money in claiming races, all applicable taxes, and other moneys that properly come into the horsemen's bookkeeper's possession in accordance with the provisions of commission rules.

(2) The horsemen's bookkeeper may accept moneys due, belonging to other organizations or recognized meetings, provided prompt return is made to the organization to which the money is due.

(3) The horsemen's bookkeeper will disburse the purse of each race and all stakes, entrance money, and jockey fees, upon request, within two race days of the conclusion of the race day for all horses that were not selected for postrace drug testing.

(4) For horses that were selected for postrace drug testing, the horsemen's bookkeeper will disburse the purse of such horses for each race and all stakes, entrance money, and jockey fees, upon request, within two race days of receipt of notification that all tests with respect to such horses have cleared the drug testing laboratory (commission chemist) as reported by the stewards. Minimum jockey mount fees may be disbursed prior to notification that the tests have cleared the testing laboratory.

(5) Absent a prior request, the horsemen's bookkeeper will disburse moneys to the persons entitled to receive same within 15 days after the last race day of the race meeting, including purses for official races, provided that all tests with respect to such horses that have been selected for postrace drug testing have cleared the drug testing laboratory as reported by the stewards, and provided further that no protest or appeal has been filed with the stewards or the commission.

(6) If a protest or appeal has been filed with the stewards or the commission, the horsemen's bookkeeper will disburse the purse of such horses having been selected for postrace drug testing within two race days of receipt of dismissal or a final nonappealable order disposing of such protest or appeal.

*e.* No portion of purse money other than jockey fees may be deducted by the facility for itself or for another, unless so requested in writing by the person to whom purse moneys are payable or the person's duly authorized representative. The horsemen's bookkeeper will mail to each owner a duplicate of each record of all deposits, withdrawals, or transfers of funds affecting the owner's racing account at the close of each race meeting.

*f.* Purse money presumption. The fact that purse money has been distributed prior to the issuance of a laboratory report is not a finding that no chemical substance has been administered, in violation of these rules, to the horse earning the purse money.

**10.5(15)** *Patrol judges.*

*a.* *General authority.* A facility may employ patrol judges who observe the running of the race and report information concerning the running of the race to the stewards.

*b.* *Duty stations.* Each patrol judge will have a duty station assigned by the stewards.

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